

FORM PTO-1390 (REV. 10-2003)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTORNEY'S DOCKET NUMBER 21246 US (C038435/0181394)	
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371				U.S. APPLICATION NO. (If known, see 37 CFR 1.5 Not yet assigned) <b>10/511426</b>	
INTERNATIONAL APPLICATION NO. PCT/EP03/03862		INTERNATIONAL FILING DATE 14 April 2003		PRIORITY DATE CLAIMED 22 April 2002	
TITLE OF INVENTION ALDEHYDE DEHYDROGENASE II					
APPLICANT(S) FOR DO/EO/US Tatsuo HOSHINO, Taro MIYAZAKI, and Teruhide SUGISAWA					
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:					
<p>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</p> <p>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371.</p> <p>3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.</p> <p>4. <input checked="" type="checkbox"/> The US has been elected (Article 31).</p> <p>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))</p> <p style="margin-left: 20px;">a. <input checked="" type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</p> <p style="margin-left: 20px;">b. <input type="checkbox"/> has been communicated by the International Bureau.</p> <p style="margin-left: 20px;">c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</p> <p>6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).</p> <p style="margin-left: 20px;">a. <input type="checkbox"/> is attached hereto.</p> <p style="margin-left: 20px;">b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</p> <p>7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))</p> <p style="margin-left: 20px;">a. <input checked="" type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</p> <p style="margin-left: 20px;">b. <input type="checkbox"/> have been communicated by the International Bureau.</p> <p style="margin-left: 20px;">c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</p> <p style="margin-left: 20px;">d. <input type="checkbox"/> have not been made and will not be made.</p> <p>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).</p> <p>9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</p> <p>10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</p> <p><b>Items 11 to 20 below concern document(s) or information included:</b></p> <p>11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</p> <p>12. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</p> <p>13. <input checked="" type="checkbox"/> A preliminary amendment.</p> <p>14. <input type="checkbox"/> An Application Data Sheet under 37 CFR 1.76.</p> <p>15. <input type="checkbox"/> A substitute specification.</p> <p>16. <input checked="" type="checkbox"/> A power of attorney and/or change of address letter.</p> <p>17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.</p> <p>18. <input checked="" type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4).</p> <p>19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).</p> <p>20. <input checked="" type="checkbox"/> Other items or information:</p> <p style="margin-left: 20px;">Designation of Registered Practitioners Pursuant to 37 CFR § 1.32(c)(3) (2 pp.); Copy of the International Search Report (3 pp.); Copy of the International Preliminary Examination Report (8 pp.); Certificate of Express Mailing (1 p.); and Return Postcard.</p>					

U.S. APPLICATION NO. <b>10/511426</b> Not yet assigned	INTERNATIONAL APPLICATION NO. PCT/EP03/03862	ATTORNEY'S DOCKET NUMBER 21246 US (C038435/0181394)
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21. <input checked="" type="checkbox"/> The following fees are submitted: <b>BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):</b> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO. .... <b>\$1080.00</b>  International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO ..... <b>\$920.00</b>  International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... <b>\$770.00</b>  International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... <b>\$730.00</b>  International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) ..... <b>\$100.00</b>  <b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>	<b>CALCULATIONS PTO USE ONLY</b>																										
<b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>	\$	950.00																									
Surcharge of <b>\$130.00</b> for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(e)).																											
\$																											
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 20%;">CLAIMS</th> <th style="width: 20%;">NUMBER FILED</th> <th style="width: 20%;">NUMBER EXTRA</th> <th style="width: 20%;">RATE</th> <th style="width: 20%;">\$</th> </tr> <tr> <td>Total claims</td> <td>22 - 20 =</td> <td>2</td> <td>x <b>\$18.00</b></td> <td>\$ 36.00</td> </tr> <tr> <td>Independent claims</td> <td>3 - 3 =</td> <td>0</td> <td>x <b>\$86.00</b></td> <td>\$ 0.00</td> </tr> <tr> <td colspan="4">MULTIPLE DEPENDENT CLAIM(S) (if applicable)</td> <td>+ <b>\$290.00</b></td> </tr> <tr> <td colspan="4" style="text-align: right;"><b>TOTAL OF ABOVE CALCULATIONS =</b></td> <td>\$ 986.00</td> </tr> </table>	CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$	Total claims	22 - 20 =	2	x <b>\$18.00</b>	\$ 36.00	Independent claims	3 - 3 =	0	x <b>\$86.00</b>	\$ 0.00	MULTIPLE DEPENDENT CLAIM(S) (if applicable)				+ <b>\$290.00</b>	<b>TOTAL OF ABOVE CALCULATIONS =</b>				\$ 986.00		
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<b>TOTAL OF ABOVE CALCULATIONS =</b>				\$ 986.00																							
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.																											
\$																											
<b>SUBTOTAL =</b>																											
\$	986.00																										
Processing fee of <b>\$130.00</b> for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).																											
\$	0.00																										
<b>TOTAL NATIONAL FEE =</b>																											
\$	986.00																										
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). <b>\$40.00</b> per property +																											
\$	40.00																										
<b>TOTAL FEES ENCLOSED =</b>																											
\$	1,026.00																										
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%;"></td> <td style="width: 20%; text-align: center;">Amount to be refunded:</td> <td style="width: 20%; text-align: center;">\$</td> </tr> <tr> <td></td> <td style="text-align: center;">charged:</td> <td style="text-align: center;">\$</td> </tr> </table>				Amount to be refunded:	\$		charged:	\$																			
	Amount to be refunded:	\$																									
	charged:	\$																									

a. ☒ A check in the amount of \$ 1,026.00 to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. 02-4467 in the amount of \$ 1,026.00 to cover the above fees.  
 A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any  
 overpayment to Deposit Account No. 02-4467. A duplicate copy of this sheet is enclosed.

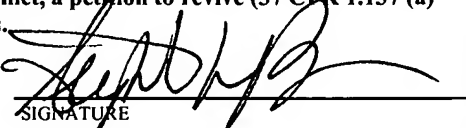
d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card  
 information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

**NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137 (a)  
 or (b)) must be filed and granted to restore the application to pending status.**

SEND ALL CORRESPONDENCE TO:

Stephen M. Haracz, Esq.  
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 SIGNATURE  
 Stephen J. Brown  
 NAME  
 43,519  
 REGISTRATION NUMBER

10/511426

DT03 Rec'd PCT/PTO 14 OCT 2004

Docket No. 21246 US (C038435/0181394)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE ACTING AS  
DESIGNATED/ELECTED OFFICE (DO/EO/US) UNDER THE PATENT COOPERATION  
TREATY CONCERNING A FILING UNDER 35 U.S.C. § 371

In re Application of: )  
Tatsuo HOSHINO *et al.* )  
Based on Int'l Application No.: PCT/EP03/03862 ) Examiner: Not yet assigned  
International Filing Date: 14 April 2003 ) Art Unit: Not yet assigned  
Filed: Herewith )  
For: **ALDEHYDE DEHYDROGENASE II** )

New York, New York  
October 14, 2004

**CERTIFICATE OF EXPRESS MAILING**

"Express Mail" Mailing Label No.: ER 930263932 US  
Date of Deposit: October 14, 2004

I hereby certify that the following:

- [x] Certificate of Express Mailing (1 p)
- [x] Transmittal Letter to the United States Designated/Elected Office (DO/EO/US) Concerning A Filing Under 35 U.S.C. § 371 (2 pp) in duplicate
- [x] Copy of International Application as filed (22 pp)
- [x] Amendments to the claims of the International Application (3 pp)
- [x] Declaration and Power of Attorney (executed) (2 pp)
- [x] Information Disclosure Statement, PTO-1449 (5 pp, incl. duplicate p 2) and copies of refs.
- [x] Recordation Form Cover Sheet and Assignment (2 pp)
- [x] Preliminary Amendment (11 pp, including duplicate p 1)
- [x] Copy of published International Application WO 03/089634 A1 (23 pp)
- [x] Copy of International Search Report (3 pp)
- [x] Copy of International Preliminary Examination Report (8 pp)
- [x] Designation of Registered Practitioners Pursuant to 37 CFR §1.32(c)(3) (2 pp)
- [x] Check for \$1,026.00 (National Filing Fee and Assignment Fee)
- [x] Return postcard

are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR § 1.10 on the Date of Deposit indicated above in an envelope addressed to Mail Stop PCT, Commissioner For Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

  
Luis Ortiz

Signature of Person Making Deposit

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(212) 541-2000